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# TRANSMITTAL FORM

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Total Number Of Pages In This Submission

18 + 30  
references

Application Number

09/938,200

Filing Date

August 23, 2001

First Named Inventor

Carmel M. LYNCH

Group Art Unit

1633

Examiner Name

To Be Assigned

Attorney Docket No.

226272001702

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## ENCLOSURES (check all that apply)

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| Firm<br>or<br>Individual Name | Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018 |
| Signature                     | Catherine M. Polizzi  |
| Date                          | February 26, 2002   |

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#3  
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PATENT  
Docket No. 226272001762

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

Carmel M. LYNCH and Randolph L.  
GEARY

Serial No.: 09/938,200

Filing Date: August 23, 2001

For: METHODS FOR TRANSDUCING  
CELLS IN BLOOD VESSELS USING  
RECOMBINANT AAV VECTORS

Examiner: To Be Assigned

Group Art Unit: 1633

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents numbered 1-13, 17, 19-21, 23-24, 26, 29, 32-33, 35-36, 38, 40, 42-50, 54-60, 62-73, 76-82, 85-93, 95, 97-109, 113-115, 118-120, and 123 were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial Number 08/793,916 filed on February 28, 1997, and, accordingly, copies are not included herewith. Documents numbered 14-16, 18, 22, 25, 27-28, 30-31, 34, 37, 39, 41, 51-53, 61, 74-

75, 83-84, 94, 96, 110-112, 116-117, 121, and 122 are being submitted herewith. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609(A)(2). The Examiner is requested to make these documents of record in the application.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \* is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of \* is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist;

(iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 226272001702. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: February 20, 2002

Respectfully submitted,

By: Catherine M. Polizzi  
Catherine M. Polizzi  
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Docket Number 226272001702

Application Number 09/938,200

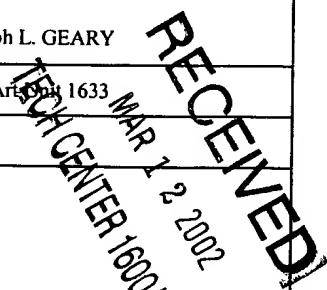
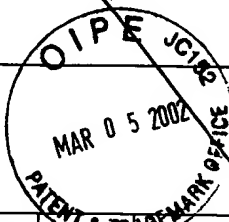
Applicant

Carmel M. LYNCH and Randolph L. GEARY

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Group Art. 94, 1633

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## U.S. PATENT DOCUMENTS

| Examiner Initials | Ref. No. | Date     | Document No. | Name            | Class | Subclass | Filing Date If Appropriate |
|-------------------|----------|----------|--------------|-----------------|-------|----------|----------------------------|
|                   | 1.       | 10/01/85 | 4,544,632    | Yamamura et al. |       |          |                            |
|                   | 2.       | 06/23/87 | 4,675,391    | Yamamura et al. |       |          |                            |
|                   | 3.       | 06/13/89 | 4,839,298    | Kaieda et al.   |       |          |                            |
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|                   | 5.       | 03/21/95 | 5,399,346    | Anderson et al. |       |          |                            |

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| Examiner Initials | Ref. No. | Date     | Document No. | Country | Class | Subclass | Translation YES NO |
|-------------------|----------|----------|--------------|---------|-------|----------|--------------------|
|                   | 6.       | 11/12/91 | WO 92/08796  | WIPO    |       |          |                    |
|                   | 7.       | 05/19/94 | WO 94/28143  | WIPO    |       |          |                    |
|                   | 8.       | 05/18/95 | WO 95/13365  | WIPO    |       |          |                    |
|                   | 9.       | 05/18/95 | WO 95/13392  | WIPO    |       |          |                    |
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|                   | 11.      | 09/14/95 | WO 95/24202  | WIPO    |       |          |                    |
|                   | 12.      | 01/04/96 | WO 96/00006  | WIPO    |       |          |                    |
|                   | 13.      | 04/03/97 | WO 97/12050  | WIPO    |       |          |                    |

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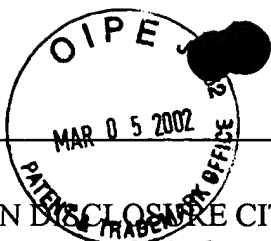
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|-------------------|----------|--|
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Docket Number 226272001702

Application Number 09/938,200

Applicant

Carmel M. LYNCH and Randolph L. GEAR

Filing Date August 23, 2001

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Docket Number 226272001702

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Docket Number 226272001702

Application Number 09/938,200

Applicant

Carmel M. LYNCH and Randolph L. GERRY

Filing Date August 23, 2001

Group Art Unit 1600

Mailing Date February 22, 2002

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Docket Number 226272001702

Application Number 09/939,000

Applicant

Carmel M. LYNCH and Randolph L. LYNCH

Filing Date August 23, 2001

Group Art Unit 1634

Mailing Date February 26, 2002

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